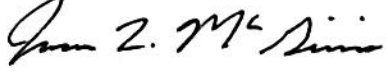
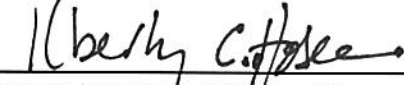
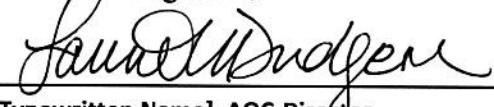


Name of Standard Operating Procedure:	PROCEDURES FOR THE CREATION & REVISION OF STANDARD OPERATING PROCEDURES, STANDARDS, DEPARTMENTAL POLICIES, AND DEPARTMENTAL GUIDELINES
Relevant Law:	
Effective Date:	9/1/2018
Date of Next Scheduled Review:	9/1/2021
Please Check One:	<input checked="" type="checkbox"/> New Standard Operating Procedure <input type="checkbox"/> Revision of existing Standard Operating Procedure <input type="checkbox"/> No revisions from last Effective Date

Responsible manager or executive officer:	Jason L. McGinnis  _____ [Typewritten Name], Deputy Director	<u>9/4/18</u> Date
Reviewed by:	Kimberly Hosea  _____ [Typewritten Name], Office of General Counsel	<u>9/4/2018</u> Date
Approved by:	Laurie K. Dudgeon  _____ [Typewritten Name], AOC Director	<u>9/4/18</u> Date

PROCEDURES FOR THE CREATION & REVISION OF STANDARD OPERATING PROCEDURES, STANDARDS, DEPARTMENTAL POLICIES, AND DEPARTMENTAL GUIDELINES

EFFECTIVE DATE: SEPTEMBER 1, 2018

NEXT SCHEDULED REVIEW: SEPTEMBER 1, 2021

RESPONSIBLE MANAGER OR EXECUTIVE OFFICER: AOC DIRECTOR

1. PURPOSE

The purpose of this Standard Operating Procedure (SOP) is to define the steps to create, revise, maintain, and communicate SOPs, standards, departmental policies, and departmental guidelines of the Administrative Office of the Courts (AOC) and all departments, divisions, and units therein. The use of this consistent process and format will ensure that all AOC SOPs, standards, departmental policies, and departmental guidelines are properly developed and regularly updated to remain compliant with the law, are easy to find, read, and understand, and are aligned with the principal goals and objectives of the AOC.

2. SCOPE

This SOP applies to all departments and divisions of the AOC and all AOC personnel therein.

3. DEFINITIONS

- 3.1. **"AOC"** means the Kentucky Administrative Office of the Courts and all departments, divisions, and units therein.
- 3.2. **"AOC personnel"** means all employees, contract workers, volunteers, and interns working in all departments, divisions, and units of the AOC.
- 3.3. **"AOC Standard Operating Procedures (AOC SOPs)"** means a set of step-by-step procedures that are mandatory and apply to all AOC personnel. AOC SOPs support the APs and other Supreme Court Rules, statutes, and other applicable law by providing specific directions on how the AOC will meet its obligations with respect to each. AOC SOPs may be in the form of a manual or handbook and will be made publicly available on the KCOJ website.

- 3.4. **"APs"** means the Administrative Procedures of the Court of Justice as adopted by the Supreme Court of Kentucky, comprising the administrative policies of the KCOJ.
- 3.5. **"Departmental guidelines"** means statements of best practice or recommended courses of action that are not mandatory but are meant to assist AOC personnel within a specified department, division, or unit in performing their job duties accurately and efficiently.
- 3.6. **"Departmental policies"** means a set of policies that are specific to the internal operations of a department, division, or unit which are consistent with the APs and AOC SOPs and provide mandatory job performance expectations as they relate to job duties within that department, division, or unit.
- 3.7. **"KCOJ"** means the Kentucky Court of Justice.
- 3.8. **"KCOJ personnel"** means all elected and appointed officials, employees, contract workers, volunteers, and interns of the KCOJ.
- 3.9. **"Office of General Counsel (OGC)"** means the AOC Office of General Counsel.
- 3.10. **"Responsible manager or executive officer"** means the appropriate AOC manager, departmental director, or executive officer whose authority covers the subject matter of any AP, AOC SOP, standard, departmental policy, or departmental guideline. There may be more than one responsible manager or executive officer for any single AP, AOC SOP, standard, departmental policy, or departmental guideline.
- 3.11. **"Standards"** means requirements or criteria that assign quantifiable measures to support and implement APs and AOC SOPs and provide direction to KCOJ personnel. Standards are established by the responsible manager or executive officer and apply to all KCOJ personnel and will be made publicly available on the KCOJ website.

4. GENERAL PROVISIONS

- 4.1. All AOC SOPs, standards, departmental policies, and departmental guidelines must:
 - 4.1.1. Be named and identified consistent with these SOPs;
 - 4.1.2. Include a Definitions section defining any words or terms with a technical or specific meaning in the context of the document;
 - 4.1.3. Be organized in a manner that makes them easy to read and reference, including consistent internal numbering;
 - 4.1.4. Use plain language throughout the document;

- 4.1.5. Use direct language such as “must” and “are to” to specify expected and mandatory behaviors;
 - 4.1.6. State “who” is responsible by role or job title for any given task or function;
 - 4.1.7. If including hyperlinks, fully incorporate the URL into the sentence by providing the full web address;
 - 4.1.8. Reference all AOC forms by AOC form number and full title; and
 - 4.1.9. Include the appropriate cover sheet as the first page. Cover sheets are available on the AOC Internal Policies and Procedures SharePoint site and must include: Name(s), title(s), and signature(s) of responsible manager(s) or executive officer(s); name and signature of OGC reviewing attorney; name and signature of AOC Director; date of AOC Director’s approval; effective date; date of next review; and title of the document. The cover sheet for AOC SOPs must reference relevant state and federal law, e.g., AP, KRS, SCR, CR, RCr, FCRPP, JCRPP, administrative orders of the Supreme Court of Kentucky, USC, and/or CFR.
- 4.2. The titles of all departmental policies and departmental guidelines must include the name of the department, division, or unit to which the policies or guidelines apply.
- 4.3. Any non-mandatory statements must be placed in accompanying departmental guidelines or, if included in an AOC SOP, standard, or departmental policy, clearly identified as guidelines.

5. PERIODIC REVIEW

All AOC SOPs, standards, departmental policies, and departmental guidelines must be reviewed and appropriately revised on a periodic basis, as follows:

5.1 AOC SOPs

- 5.1.1. The AOC Director will adopt a schedule for the initial AOC SOPs revised or created in accordance with this SOP. Thereafter, the responsible manager or executive officer must review each AOC SOP every three years after its effective date pursuant to Section 5.1.2. below.
- 5.1.2. Every three years, each responsible manager or executive officer must review and appropriately revise each AOC SOP in light of current laws, rules, and best practices.

- 5.1.3. Upon completion of the review required by Section 5.1.2. above, the AOC SOPs must be processed in accordance with Section 6.1 below.
- 5.1.4. Notwithstanding Sections 5.1.1. and 5.1.2. above, if any applicable laws, rules, or best practices are revised or created prior to the next scheduled review of an SOP requiring the revision of any SOP, the responsible manager or executive officer must revise the SOP in accordance with the process set forth in Section 6.1. below.

5.2. Standards, Departmental Policies, and Departmental Guidelines

- 5.2.1. At least once per year, the responsible manager or executive officer must review and appropriately revise, if necessary, all standards, departmental policies, and departmental guidelines in light of current laws, rules, and best practices.
- 5.2.2. Upon completion of the review required by Section 5.2.1. above, the standards, departmental policies, or departmental guidelines must be processed in accordance with Sections 6.2. through 6.4. below.

6. CREATION, REVISION, & REVIEW PROCESS

6.1. AOC SOPs

- 6.1.1. The responsible manager or executive officer is responsible for reviewing and revising existing or drafting new AOC SOPs when necessary.
- 6.1.2. If, during the review required by Section 6.1.1. above, the responsible manager or executive officer determines that revisions to an AOC SOP are necessary and appropriate, he or she must document such revisions using the “track changes” feature in Microsoft Word and submit the revised AOC SOP to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.1.3. If, during the review required by Section 6.1.1. above, the responsible manager or executive officer determines that no revisions to an AOC SOP are necessary or appropriate, he or she must document such determination in writing and submit the AOC SOP along with the written determination to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.1.4. The OGC will review the AOC SOP for consistency with applicable law and revise accordingly if necessary. The OGC may make other suggestions or recommendations with respect to the proposed AOC SOP for the final consideration of the responsible manager or executive officer.

- 6.1.5. The OGC will forward the proposed AOC SOP to the AOC Director or Deputy Director for final approval. If necessary, the AOC Director or Deputy Director will submit the AOC SOP to the Office of Public Information for formatting and design assistance.
- 6.1.6. All AOC SOPs will be posted on the AOC's Internal Policies and Procedures SharePoint site and will be made publicly available on the KCOJ website.

6.2. Standards

- 6.2.1. The responsible manager or executive officer is responsible for reviewing and revising existing or drafting new standards when necessary.
- 6.2.2. If, during the review required by Section 6.2.1. above, the responsible manager or executive officer determines that revisions to standards are necessary and appropriate, he or she must document such revisions using the "track changes" feature in Microsoft Word and submit the revised standards to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.2.3. If, during the review required by Section 6.2.1. above, the responsible manager or executive officer determines that no revisions to standards are necessary or appropriate, he or she must document such determination in writing and submit the standards along with the written determination to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.2.4. The OGC will review the standards for consistency with applicable law and revise accordingly if necessary. The OGC may make other suggestions or recommendations with respect to the proposed standards for the final consideration of the responsible manager or executive officer.
- 6.2.5. The OGC will forward the proposed standards to the AOC Director or Deputy Director for final approval. If necessary, the AOC Director or Deputy Director will submit the AOC SOP to the Office of Public Information for formatting and design assistance.
- 6.2.6. All standards will be posted on the AOC's Internal Policies and Procedures SharePoint site and will be made publicly available on the KCOJ website.

6.3. Departmental Policies

- 6.3.1. The responsible manager or executive officer is responsible for reviewing and revising existing or drafting new departmental policies when necessary.

- 6.3.2. If, during the review required by Section 6.3.1. above, the responsible manager or executive officer determines that revisions to departmental policies are necessary and appropriate, he or she must document such revisions using the “track changes” feature in Microsoft Word and submit the revised departmental policies to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.3.3. If, during the review required by Section 6.3.1. above, the responsible manager or executive officer determines that no revisions to departmental policies are necessary or appropriate, he or she must document such determination in writing and submit the departmental policies along with the written determination to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.3.4. The OGC will review the departmental policies for consistency with applicable law and revise accordingly if necessary. The OGC may make other suggestions or recommendations with respect to the proposed departmental policies for the final consideration of the responsible manager or executive officer.
- 6.3.5. The OGC will forward the proposed departmental policies to the AOC Director or Deputy Director for final approval.
- 6.3.6. All departmental policies will be posted on the AOC’s Internal Policies and Procedures SharePoint site.

6.4. Departmental Guidelines

- 6.4.1. The responsible manager or executive officer is responsible for reviewing and revising existing or drafting new departmental guidelines when necessary.
- 6.4.2. If, during the review required by Section 6.4.1. above, the responsible manager or executive officer determines that revisions to departmental guidelines are necessary and appropriate, he or she must document such revisions using the “track changes” feature in Microsoft Word and submit the revised departmental guidelines to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.
- 6.4.3. If, during the review required by Section 6.4.1. above, the responsible manager or executive officer determines that no revisions to departmental guidelines are necessary or appropriate, he or she must document such determination in writing and submit the departmental guidelines along with the written determination to the OGC for review using AOC Form 19, Inter-Departmental Request for Legal Services by the Office of General Counsel.

- 6.4.4. The OGC will review the departmental guidelines for consistency with applicable law and revise accordingly if necessary. The OGC may make other suggestions or recommendations with respect to the proposed departmental guidelines for the final consideration of the responsible manager or executive officer.
- 6.4.5. The OGC will forward the proposed departmental guidelines to the AOC Director or Deputy Director for final approval.
- 6.4.6. All departmental guidelines will be posted on the AOC's Internal Policies and Procedures SharePoint site.

7. TRAINING AND COMMUNICATION

- 7.1. The responsible manager or executive officer must ensure proper communication to and training of all AOC personnel under his or her supervision with respect to existing or new AOC SOPs, standards, departmental policies, and departmental guidelines.
- 7.2. The AOC Director must ensure proper communication to and training of AOC executive officers, managers, and directors and elected and appointed officials, where appropriate and necessary, with respect to existing or new AOC SOPs and standards.